M

SEP 2 1 200

03CD

Please type a plus sign (+) inside this box +

PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

+ #5

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

	Application Number	09/847,855		
TRANSMITTAL	Filing Date	May 2, 2001		
FORM	First Named Inventor	David M. Pelland et al.		
(to be used for all correspondence after initial filing)	Group Art Unit	N/A		
	Examiner Name	Not Yet Assigned		
Total Number of Pages in This Submission	Attorney Docket Number	104196.129		
ENCLOS	SURES (check all that app	ly)		
	nent Papers Application)	After Allowance Communication to Group		
Fee Attached Drawing	(s)	Appeal Communication to Board of Appeals and Interferences		
Amendment / Response Licensin	g-related Papers	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
	Routing Slip (PTO/SB/69) companying Petition	Proprietary Information		
	to Convert to a nal Application	Status Letter		
Extension of Time Request Power of Change Address	f Attorney, Revocation of Correspondence	Additional Enclosure(s) (please identify below)		
	I Disclaimer	✓ Postcard		
Information Disclosure Statement	ntity Statement	·		
	t for Refund			
Document(s) Remarks Response to Missing Parts/ * 4 refere].			
Response to Missing Parts/ Incomplete Application				
Response to Missing Parts under 37 CFR 1.52 or 1:53				
SIGNATURE OF APPLIC	CANT, ATTORNEY, OR A	GENT		
Firm or Individual name Michael J. Twomey (Reg. No. 38,349)				
Signature hucharlo Thomas				
Date September 25, 2001				
CERTIFICATE OF MAILING				
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:				
Typed or printed name Paul Speidel				

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be send to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Date

September 25, 2001

Signature

S. Serial No. 09/847,855 Attorney Docket Number 104196.129

Examiner: Not yet known

Group Art Unit: N/A

Filed: May 2, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

David M. Pelland, et al.

Serial No.:

09/847,855

Filed:

May 2, 2001

Entitled:

An Electronic Personal Assistant With

Personality Adaptation

Attorney Docket No.: 104196.129 (formerly 06318-011001)

Assistant Commissioner of Patents

Washington, D.C. 20231

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 CFR § 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner of Patents, Washington, D.C. 20231 on the date indicated below.

Paul L. Speidel

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the following documents listed on the attached Form PTO-1449. This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits and is therefore submitted as both timely and proper.

It is respectfully requested that the information above be expressly considered during the prosecution of this application and that the publication be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

U.S. Serial No. 09/847,855 Attorney Docket Number 104196.129

Filed: May 2, 2001

This submission does not constitute a representation by Applicants that a search has been made or that no better art exists and does not constitute an admission that any of the listed documents are material or constitute "prior art." Applicants reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Copies of the documents listed on the attached Form PTO-1449 are submitted herewith. It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449 with the next Patent Office communication.

No fees are believed due. If however a fee is due or a credit owed, please make it to our Deposit Account No. 08-0219.

Respectfully submitted,

Date: September 25, 2001

Michael J. Twomey Registration No. 38,349 Attorney for Applicants

HALE AND DORR LLP 60 State Street Boston, MA 02109 (617) 526-6000 (617) 526-5000 (Facsimile) Subt. For, PTO-1449

Docket Number 104196.129 Application Number 09/847,855

	,	уррпсант		
David	М.	Pelland,	et	al.

(Use several sheets if necessary)
----------------------------------	---

INFORMATION DISCLOSURE IN AN APPLICATION

Sheet OF

Filing Date May 2, 2001 Group Art Unit N/A

DEE		U.	S. Patent Docume	nts		
EXAMINER EINITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C S	5,652,789	07/29/97	Miner et al.	379	201.01	09/30/94
	6,021,181	02/01/00	Miner et al.	379	88.23	02/24/97
	6,047,053	04/04/00	Miner et al.	379	201.01	05/22/97
	6,144,938	11/07/00	Surace et al.	704	257	05/01/98
						
	- .					
				1		
			-	ļ	·	=
				 		
					<u></u>	

Foreign Patent Documents								
EXAMINER	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANS	TRANSLATION	
INITIAL	NUMBER					YES	NO	
				+	-			
L		l						

	Other Documents (Including Author, Title, Date Pertinent Pages, Et	c.)